

DECLARATION

INVENTORSHIP IDENTIFICATION

As the below named inventor, I hereby declare that my residence, mailing address and citizenship are as stated below, next to my name. I believe that I am the original, first and sole inventor (*if only one name is listed below*) or an original, first and joint inventor (*if plural names are listed below*) of the subject matter that is claimed, and for which a patent is sought on the invention entitled:

INTEGRATED INVESTMENT MANAGEMENT SYSTEM WITH NETWORK DATAFEED

TITLE OF INVENTION

SPECIFICATION IDENTIFICATION

the specification of which:

- (a) ☐ is attached hereto.
- (b) ☒ was filed on July 26, 2001, as ☒ Serial No. 09/915,993
☐ and was amended on (*if applicable*).
- (c) ☐ was described and claimed in PCT International Application No. filed on
☐ and was amended on . (*if applicable*).

ACKNOWLEDGMENT OF REVIEW OF PAPERS AND DUTY OF CANDOR

I hereby state that I have reviewed and understand the contents of the above-identified specification, including the claims as amended by any amendment referred to above.

I acknowledge the duty to disclose information, which is material to patentability as defined in 37, Code of Federal Regulations, § 1.56.

PRIORITY CLAIMS UNDER 35 U.S.C. § 119(a)-(d)

(Prior Foreign/Pct Application(S) Filed Within 12 Months

(6 Months For Design) Prior To This Application)

I hereby claim foreign priority benefits under Title 35, United States Code, § 119(a)-(d) or 365(b) of any foreign application(s) for patent or inventor's certificate(s) or 365(a) of any PCT international application(s) which designated at least one country other than the United States of America, listed below and have also identified below any foreign application(s) for patent or inventor's certificate(s) or any PCT international application(s) having a filing date before that of the application(s) of which priority is claimed.

| Application Number | Country or PCT | Date Of Filing (Day, Month, Year) | Priority not Claimed | Certified Copy Attached? |
|--------------------|----------------|--------------------------------------|--------------------------|--|
| | | | <input type="checkbox"/> | <input type="checkbox"/> YES <input type="checkbox"/> NO |

CLAIM FOR BENEFIT OF PRIOR U.S. PROVISIONAL APPLICATION(S) UNDER 35 U.S.C. § 119(e)

I hereby claim the benefit under Title 35, United States Code, § 119(e) of any United States provisional application(s) listed below:

| Provisional Application Number | Filing Date |
|--------------------------------|---------------|
| 60/221,463 | July 26, 2000 |

CLAIM FOR BENEFIT OF EARLIER US/PCT APPLICATION(S) UNDER 35 U.S.C. 120

(All Foreign Application(S), *If Any*, Filed More Than 12 Months
(6 Months For Design) Prior To This U.S. Application)

I hereby claim the benefit under Title 35, United States Code, § 120 of any United States application(s) or 365(c) PCT international application(s) designating the United States of America that is/are listed below and, insofar as the subject matter of each of the claims of this application is not disclosed in the prior United States or PCT international application(s) in the manner provided by the first paragraph of Title 35, United States Code, § 112, I acknowledge the duty to disclose information which is material to patentability as defined in 37, Code of Federal Regulations, § 1.56, which became available between the filing date of the prior application(s) and the national or PCT international filing date of this application.

| U.S Parent Application No. | PCT Parent Application No. | Date Of Filing (Day, Month, Year) | Parent Patent No. (<i>If applicable</i>) |
|-------------------------------|-------------------------------|--------------------------------------|---|
| | | | |
| | | | |


DECLARATION

I hereby declare that my presentation of this paper constitutes a certification under 37 C.F.R § 10.18, which provides, in part, that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and that further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under Section 1001 of Title 18 of the United States Code, and that such willful statements may jeopardize the validity of the application and any patent issuing therefrom.

SIGNATURE(S)

Inventor(s)

Robert S. Stewart
(GIVEN NAME) (MIDDLE INITIAL OR NAME) FAMILY (OR LAST NAME)

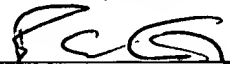
Inventor's signature 

Date 10-25-01 Country of Citizenship USA

Residence Pittsburgh, PA 15238

Mailing Address 880 Old Mill Road, Pittsburgh, PA 15238

Roland E. Collins III
(GIVEN NAME) (MIDDLE INITIAL OR NAME) FAMILY (OR LAST NAME)

Inventor's signature 

Date 10-25-01 Country of Citizenship USA

Residence Ardmore, PA 19003

Mailing Address: 232 Simpson Road, Ardmore, PA 19003

(GIVEN NAME) (MIDDLE INITIAL OR NAME) FAMILY (OR LAST NAME)

Inventor's signature

Date Country of Citizenship

Residence

Post Office Address:

- ☐ **Signature** by administrator(trix), or legal representative for deceased or incapacitated inventor. Number of pages added .
- ☐ **Signature** for inventor who refuses to sign or cannot be reached by person authorized under 37 CFR 1.47. Number of pages added .
- ☐ Added page for **signature** by one joint inventor on behalf of deceased inventor(s) where legal representative cannot be appointed in time. (37 CFR 1.47) Number of pages added .
- ☐ Authorization of attorney(s) to accept and follow instructions from representative.
- ☒ This declaration ends with this page.



IN THE UNITED STATES PATENT AND TRADEMARK OFFICE
37 C.F.R. § 3.73(b) Statement

Applicants: Stewart et al.
For: INTEGRATED INVESTMENT MANAGEMENT SYSTEM
WITH NETWORK DATAFEED

Serial No.: 09/915,993 Filed: July 26, 2001

InvestEdge, Inc. (a Delaware corporation) is the assignee of the entire right, title and interest in the patent identified above by virtue of either:

- A. ☒ An assignment from the inventor(s) of the **patent application** identified above. The assignment was recorded in the United States Patent and Trademark Office on _____ at Reel _____, Frame _____, or for which a copy thereof is attached.

OR

- B. ☐ A chain of title from the inventor(s) of the patent application identified above to the current assignee as shown below:

1. From _____ To: _____

The document was recorded in the United States Patent and Trademark Office on _____ at Reel _____, Frame _____, or for which a copy thereof is attached.

☐ Copies of assignments or other documents in the chain of title are attached.

The undersigned (whose title is supplied below) is empowered to sign this statement on behalf of the assignee.

Power Of Attorney

I hereby revoke all previous powers of attorney, if any, and appoint the following attorney(s) and/or agent(s) to prosecute this application and transact all business in the Patent and Trademark Office connected therewith:

Michael G. Biro
Roberto Capriotti
Maria Comninou
George D. Dickos,
Thomas J. Edgington,
Christine R. Ethridge,
Jesse A. Hirshman,
James M. Joyce,
Mark G. Knedeisen,
William E. Kuss,

Reg. No. 46,556
Reg. No. 46,599
Reg. No. 44,626
Reg. No. 30,048
Reg. No. 34,324
Reg. No. 30,557
Reg. No. 40,016
Reg. No. 43,700
Reg. No. 42,747
Reg. No. 41,919

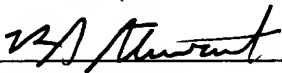
James R. Kyper,
Michael D. Lazzara,
Mark R. Leslie,
Franklin B. Molin,
Robert A. Muha,
Donald R. Palladino
Jonathan C. Parks,
Bernard G. Pike
David Schramm
Robert D. Yeager

Reg. No. 27,346
Reg. No. 41,142
Reg. No. 36,360
Reg. No. 37,397
Reg. No. 44,249
Reg. No. 46,976
Reg. No. 40,120
Reg. No. 46,993
Reg. No. 41,295
Reg. No. 25,047

Please Direct All Correspondence to: Jonathan C. Parks, Esquire
Kirkpatrick & Lockhart, LLP
Henry W. Oliver Building
535 Smithfield Str et
Pittsburgh, PA 15222-2312

Declaration

I hereby declare that my presentation of this paper constitutes a certification under 37 C.F.R § 10.18, which provides, in part, that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and that further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under Section 1001 of Title 18 of the United States Code, and that such willful statements may jeopardize the validity of the application and any patent issuing therefrom.

Date 10-25-01
Signature 
Name Robert S. Stewart
Title President and Chief Executive Officer

Attorney's Docket No. 00564

PATENT

For: ☒ U.S. and/or ☒ Foreign Rights
For: ☒ U.S. Application or
☐ U.S. Provisional Application
For: ☐ U.S. Patent
For: ☐ PCT Application
By: Multiple Inventors

ASSIGNMENT OF INVENTION (MULTIPLE INVENTORS)

In consideration of the payment by ASSIGNEE to ASSIGNOR of the sum of One Dollar (\$1.00), the receipt of which is hereby acknowledged, and for other good and valuable consideration,

ASSIGNORS (Inventors):

Robert S. Stewart
(type or print name of inventors)

880 Old Mill Road
Pittsburgh, PA 15238 USA
Address Nationality

Roland E. Collins III

232 Simpson Road
Ardmore, PA 19003 USA

hereby sells, assigns and transfers to

ASSIGNEE:

InvestEdge, Inc.
(type or print name of ASSIGNEE)

1151 Freeport Road, Suite 396
Address

(a Delaware corporation)
Nationality

Pittsburgh, PA 15238

and the successors, assigns and legal representatives of the ASSIGNEE

(complete one of the following)

☒ the entire right, title and interest

☐ an undivided _____ percent (_____ %) interest for the United States
and its territorial possessions

(check the following box, if foreign rights are also to be assigned)

☒ and in all foreign countries, including all rights to claim priority, in and to any and all
improvements which are disclosed in the invention entitled **INTEGRATED INVESTMENT
MANAGEMENT SYSTEM WITH NETWORK DATAFEED**

(check and complete (a), (b), (c), (d), (e), (f) or (g))

and which is found in

(a) ☐ U.S. patent application executed on even date herewith

(b) ☐ U.S. patent application executed on _____

(c) ☐ U.S. provisional application naming the above inventor(s) for the above-entitled invention

☐ Express mail label no.: _____

Mailed: _____

☐ To comply with 37 CFR 3.21 for recordal of this assignment, I, an ASSIGNOR signing below,
hereby authorize and request my attorney to insert below the filing date and application
number when they become known.

(d) ☒ U.S. application no.: 09/915,993 filed on July 26, 2001

(e) ☐ International application no. PCT / _____ / _____
filed on _____

(f) ☐ U.S. patent no. _____ issued _____

☐ A change of address to which correspondence is to be sent regarding patent
maintenance fees is being sent separately.

(also check (g), if foreign application(s) is also being assigned)

- (g) ☒ and any legal equivalent thereof in a foreign country, including the right to claim priority and, in and to, all Letters Patent to be obtained for said invention by the above application or any continuation, division, renewal, or substitute thereof, and as to letters patent any reissue or re-examination thereof.

ASSIGNOR hereby covenants that no assignment, sale, agreement or encumbrance has been or will be made or entered into which would conflict with this assignment;

ASSIGNOR further covenants that ASSIGNEE will, upon its request, be provided promptly with all pertinent facts and documents relating to said invention and said Letters Patent and legal equivalents as may be known and accessible to ASSIGNOR and will testify as to the same in any interference, litigation or proceeding related thereto and will promptly execute and deliver to ASSIGNEE or its legal representatives any and all papers, instruments or affidavits required to apply for, obtain, maintain, issue and enforce said application, said invention and said Letters Patent and said equivalents thereof which may be necessary or desirable to carry out the purposes thereof.

IN WITNESS WHEREOF, We have hereunto set hand and seal this _____ Date of signing

WARNING: The date of signing must be the same as the date of execution of the application, if item (a) was checked above.

Robert S. Stewart
(type name of Inventor)

RS Stewart 10-25-01
Signature of INVENTOR Date

Roland E. Collins III
(type name of Inventor)

RE Collins 10-25-01
Signature of INVENTOR Date

☐ Notarization or Legalization Page Added.

NOTE: No witnessing, notarization or legalization is necessary. If the assignment is notarized or legalized, then it will only be prima facie evidence of execution. 35 USC 261. Use next page if notarization is desired.

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re application of: Stewart et al.

Application No.: 09/915,993

Filed: July 26, 2001

For: INTEGRATED INVESTMENT MANAGEMENT SYSTEM WITH NETWORK DATAFEED

Commissioner for Patents
Washington, DC 20231

**STATEMENT BY PRACTITIONER THAT APPLICATION FILED IN PTO
IS THE ONE INVENTOR EXECUTED BY SIGNING DECLARATION**

NOTE: This form is to be used when the declaration only indicates the name(s) of the inventor(s) and the title of the invention. Notice of September 12, 1983, 1035 O.G. 3.

I,

Jonathan C. Parks

Name of Practitioner

Kirkpatrick & Lockhart LLP

P.O. Address

Henry W. Oliver Building, 535 Smithfield Street, Pittsburgh, Pennsylvania 15222-2312

Reg. No. 40,120

Tel. No. (412) 355-6288

state I am the registered practitioner for this application and the application identified above is the application that the inventor(s) executed by signing the declaration that is being submitted herewith.


SIGNATURE OF PRACTITIONER

Customer No.: _____

CERTIFICATE OF MAILING/TRANSMISSION (37 C.F.R. 1.8a)

I hereby certify that this correspondence is, on the date shown below, being:

MAILING

☐ deposited with the United States Postal Service with sufficient postage as first class mail in an envelope addressed to the Assistant Commissioner for Patents, Washington, D.C. 20231.

Date: _____

FACSIMILE

☐ transmitted by facsimile to the Patent and Trademark Office.

Signature

(type or print name of person certifying)

(Statement by Practitioner That Application Filed in PTO is the One Inventor Executed by Signing Declaration

[5-10])